



PATENTS  
103167-0002

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re The Application of:  
James C. Lu et al.

Serial No.: 09/840,658

Filed: April 23, 2001

For: System and Method for the Duplica-  
tion of a Software System Onto an  
Appropriate Target Computer

Examiner: Not yet assigned

Art Unit: Not yet assigned

Cesari and McKenna, LLP  
88 Black Falcon Avenue  
Boston, MA 02210  
July 17, 2001

**EXPRESS-MAIL DEPOSIT**

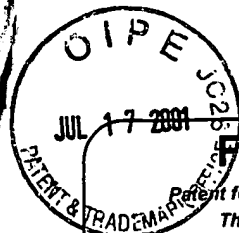
“Express Mail” Mailing-Label Number: EL 705 605 095 US

The following papers are being deposited with the United States Postal Service  
“Express Mail Post Office to Addressee” service pursuant to 37 C.F.R. §1.10:

X Power of Attorney  
X Fee Transmittal Letter

X Formal Drawing ( 5 sheets )  
X Letter to Official Draftsman

X Oath or Declaration  
X Assignment With Recordation Form  
Cover Sheet  
X Check for \$170  
X Response to Notice to File Missing  
Parts



# FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

07-18-01

Sector 14 ✓

## Complete If Known

Application Number	09/840,658
Filing Date	April 23, 2001
First Named Inventor	James C. Lu et al.
Examiner Name	Not yet assigned
Group / Art Unit	Not yet assigned
Attorney Docket No.	103167-0002

TOTAL AMOUNT OF PAYMENT (\$) 170

### METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 03-1237  
Deposit Account Name: Cesari and McKenna, LLP

☒ Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17  
☐ Charge the Issue Fee Set in 37 C.F.R. §§1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		101	710	201	35	Utility filing fee	
		106	320	206	160	Design filing fee	
		107	490	207	245	Plant filing fee	
		108	710	208	355	Reissue filing fee	
		114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)							0

#### 2. EXTRA CLAIM FEES

Extra Claims Fee from below Fee Paid  
Total Claims 20\*\* = 0 x = 0  
Independent Claims 3\*\* = 0 x = 0  
Multiple Dependent = 0

\*\*or number previously paid, if greater; For Reissues, see below

or number previously paid, if greater, For Reissues, see below						
Large Entity		Small Entity				
Fee	Fee	Fee	Fee	Fee Description		
C d	(\$)	Code	(\$)			
103	18	203	9	Claims in excess of 20		
102	80	202	40	Independent claims in excess of 3		
104	270	204	135	Multiple dependent claim, if not paid		
109	80	209	40	**Reissue independent claims over original patent		
110	18	210	9	**Reissue claims in excess of 20 and over original patent		
SUBTOTAL (2)				(\$)	0	

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		105	130	205	65	Fee Surcharge - late filing fee or oath	130
		127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
		139	130	139	130	Non-English Specification	
		147	2,520	147	2,520	For filing a request for reexamination	
		112	920	112	920*	Requesting publication of SIR prior to Examiner action	
		113	1,840	113	1,840*	Requesting publication of SIR after Examiner action	
		115	110	215	55	Extension for reply within first month	
		116	390	216	195	Extension for reply within second month	
		117	890	217	445	Extension for reply within third month	
		118	1,390	218	695	Extension for reply within fourth month	
		128	1,890	128	945	Extension for reply within fifth month	
		119	310	219	155	Notice of Appeal	
		120	310	220	155	Filing a brief in support of an appeal	
		121	270	221	135	Request for oral hearing	
		138	1,510	138	1,510	Petition to institute a public use proceeding	
		140	110	240	55	Petition to revive - unavoidable	
		141	1,240	241	620	Petition to revive - unintentional	
		142	1,240	242	620	Utility Issue fee (or reissue)	
		143	440	243	220	Design Issue fee	
		144	600	244	300	Plant Issue fee	
		122	130	122	130	Petitions to the Commissioner	
		123	50	123	50	Petitions related to provisional applications	
		126	240	126	240	Submission of Information Disclosure Stmt	
		581	40	581	40	Recording each patent assignment per property (times number of properties)	40
		146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
		149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
Other (specify) Other fee (specify)							
SUBTOTAL (3) (\$)							170

\*Reduced by Basic Filing Fee Paid

### SUBMITTED BY

Typed or Printed Name: Martin J. O'Donnell  
Signature: [Signature]  
Date: July 17, 2001

### Complete (if applicable)

Reg. Number: 24,204  
Deposit Account User ID:

H3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

JUL 17 2001

APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

09/840,658

04/23/2001

James C. Lu

103167-0002

CONFIRMATION NO. 5015

## FORMALITIES LETTER



\*OC000000006187527\*

24267

CESARI AND MCKENNA, LLP  
88 BLACK FALCON AVENUE  
BOSTON, MA 02210

Date Mailed: 06/15/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

07/20/2001 BNGUYEN1 00000158 09840658

01 FC:105

130.00 OP

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



PATENTS  
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Cesari and McKenna, LLP  
88 Black Falcon Avenue  
Boston, MA 02210  
July 17, 2001

"Express Mail" Mailing-Label Number: EL 705 605 095 US

Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

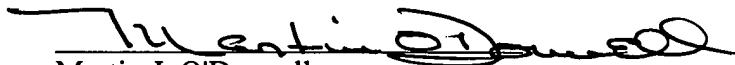
Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Enclosed in response to the Notice to File Missing Parts of Application-Filing Date Granted mailed April 23, 2001, is a Declaration for Patent Application executed by the inventors, along with a check for \$130 to cover the filing fee and surcharge for this Response. The above-referenced application filed in the Patent and Trademark Office is the application that the inventors executed by signing the enclosed Declaration.

Please charge any additional fee occasioned by this paper to our Deposit Account  
No. 03-1237.

Respectfully submitted,



Martin J. O'Donnell  
Reg. No. 24,204  
CESARI AND MCKENNA, LLP  
88 Black Falcon Avenue  
Boston, MA 02210-2414  
(617) 951-2500